

telephone (202) 219-8881. (This is not a toll-free number.)

**Bob Murphy, Inc. Profit Sharing Plan (the Plan) Located in Boynton Beach, FL**

[Prohibited Transaction Exemption 95-53; Exemption Application No. D-09949]

**Correction**

In 60 FR published at page 33009 on June 26, 1995, in the first column, the fourth line in the heading is hereby corrected to read as follows:

[Prohibited Transaction Exemption 95-54].

**FOR FURTHER INFORMATION CONTACT:** Ms. Jan D. Broady of the Department, telephone (202) 219-8881. (This is not a toll-free number.)

**Employees' Thrift Plan of Columbia Gas System (the Plan) Located in Wilmington, Delaware**

[Exemption Application No. D-09959; Prohibited Transaction Exemption 95-54]

**Correction**

In 60 FR published at page 33009 on June 26, 1995, in the second column, the fifth line in the heading is hereby corrected to read as follows:

[Prohibited Transaction Exemption 95-55].

**FOR FURTHER INFORMATION CONTACT:** Mr. C.E. Beaver of the Department, telephone (202) 219-8881. (This is not a toll-free number.)

Signed at Washington, DC, this 7th day of July 1995.

**Ivan L. Strasfeld,**

*Director of Exemption Determinations,  
Pension and Welfare Benefits Administration,  
U.S. Department of Labor.*

[FR Doc. 95-17078 Filed 7-11-95; 8:45 am]

BILLING CODE 4510-29-M

**NATIONAL INSTITUTE FOR LITERACY**

[CFDA No. 84-257H]

**Adult Learning System Reform and Improvement Planning Grant Application for Planning Grant Awards to Launch a Collaborative, Grassroots Process of System Reform and Improvement for Adult Literacy and Basic Skills Instruction**

**AGENCY:** The National Institute for Literacy.

**ACTION:** Notice.

**SUMMARY:** The National Institute for Literacy invites applications for grant awards to support a collaborative, grassroots planning process focused on the development of content standards that address what adults need to know and be able to do to fulfill their roles as

parents, citizens, and workers. These planning grants are the first stage of a multi-year initiative whose ultimate goal is to reform and improve America's adult learning system in order to enhance progress toward National Education Goal 6.

**DATE:** Applications must be received by 4:30 PM, August 21, 1995.

**NOTE TO APPLICANTS:** This notice is a complete application package. Together with the NIFL document *Equipped for Change* and the statute authorizing the program and applicable regulations governing the program, including the Education Department General Administrative Regulations (EDGAR), this notice contains all the information, application forms, regulations, and instructions needed to apply for a grant under this competition.

**FOR FURTHER INFORMATION CONTACT:** Sondra Stein, National Institute for Literacy, 800 Connecticut Avenue, NW., Suite 200, Washington, DC 20006. Telephone: 202-632-1508; FAX: 202-632-1512.

**SUPPLEMENTARY INFORMATION:**

**Definitions:** For purposes of this announcement the following definitions apply:

"Literacy" is an individual's ability to read, write, and speak in English, and compute and solve problems at levels of proficiency necessary to function on the job and in society, to achieve one's goals and develop one's knowledge and potential (as stated in the National Literacy Act of 1991).

"Adult Literacy System," or "system," means all individuals, programs, and organizations that are involved, directly and indirectly, in the delivery of literacy and basic skills services to adults. This includes, but is not limited to, people and groups involved in literacy policymaking, research and development, technical assistance, and service delivery.

"Adult Roles" mean the following three major arenas of adult life and the obligations that pertain to each:

- Parent/family member.
- Citizen.
- Worker.

"Constituencies" are state or local programs or agencies that are part of the applicant's service delivery system.

"Content Standards" are specific descriptions of the knowledge and skills that students should learn and be taught.

According to Shirley Malcom's *Promises to Keep*, Report to the National Education Goals Panel: November 15, 1993, content standards "indicate the knowledge and skills—the ways of thinking, working, communicating, reasoning and investigating, and the most

enduring ideas, concepts, issues, dilemmas and knowledge essential to the discipline—that should be taught and learned in school. They help develop the work and learning habits essential to success in the world outside school: the ability to study well, think logically, draw inferences, support assertions with evidence, and apply what is known to a new situation."

"Curriculum Framework" means a system, generally built on content and performance standards, that specifies the knowledge, skills, and understanding that students are to develop or acquire in a given subject area at a given grade or level of school.

"Performance Standards" are benchmarks for determining whether a student meets content standards at acceptable levels.

Performance standards, indicate both the nature of the evidence required to demonstrate that the content standard has been met \* \* \* and the quality of student performance that will be deemed acceptable \* \* \* (Malcom, *Promises to Keep*).

"Purposes for Literacy," based on NIFL's survey of adult learners, mean the following four general purposes that literacy serves in helping adults fulfill their roles:

- Providing access to information so adults can orient themselves in the world.
- Enabling adults to give voice to their ideas and have an impact on the world around them.
- Enabling adults to make decisions and act independently, without needing to rely on others.
- Building a bridge to the future by laying a foundation for continued learning, so adults can keep up with the world as it changes.

"Stakeholders" are individuals, organizations, and institutions that are not part of the applicant's service delivery system but that have a stake in literacy.

**BACKGROUND:** The National Institute for Literacy (NIFL), was created by the National Literacy Act of 1991 to provide a national focal point for literacy activities and to facilitate the pooling of ideas and expertise across a fragmented field. NIFL is authorized to carry out a wide range of activities that will improve and expand the system for delivery of literacy services nationwide.

All of NIFL's activities are intended to accelerate progress toward National Education Goal 6, the goal for adult literacy and lifelong learning. Goal 6 states that: By the year 2000 every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and

responsibilities of citizenship. A critical aspect of NIFL's work is to measure the nation's progress toward this Goal.

Over the past two years the NIFL has been involved in a joint effort with the National Education Goals Panel aimed at developing a functional definition of Goal 6 that can guide the improvement of literacy services as well as the measurement of success. As part of this joint effort, the NIFL turned to adult learners across the country, soliciting, collating, and analyzing responses to the question: "What skills and knowledge do adults need to be literate, to compete in a global economy and to exercise the rights and responsibilities of citizenship?"

In their writings, respondents identified their roles as parents and family members as an important part of their roles as citizens and workers. In discussing the knowledge and skills necessary to be successful in these three primary roles, adults pointed us to four fundamental purposes literacy fulfills in their lives:

- Providing access to information so they can orient themselves in the world.
- Enabling them to give voice to their ideas and have an impact on the world around them.
- Enabling them to make decisions and act independently, without needing to rely on others.
- Laying a foundation for continued learning, so they can keep up with the world as it changes.

In essence, adults told us that in order to attain Goal 6, every adult needs the knowledge and skills to accomplish these four purposes in the context of their roles as parents, citizens and workers. (These four purposes are described more fully, with examples from adults' writings, in the NIFL publication *Equipped for the Future*.) If Goal 6 were rephrased to reflect these learner purposes it might read: By the year 2000 every adult will be literate and will possess the knowledge and skills necessary to orient themselves in a rapidly changing world, to voice their ideas and be heard, and to act independently as a parent, a citizen and a worker, for the good of family, community, and nation.

The National Institute for Literacy has determined to use this customer-driven definition of Goal 6 as a starting point for improving and enhancing the adult literacy system to accelerate progress toward this Goal. In shaping the course of this initiative, the Institute has taken into account the following related national initiatives focused on outcomes and accountability:

1. Several national efforts in the K-12 system, either underway or completed,

identify content standards—criteria for what students should know and be able to do—in specific curriculum areas such as math, history, and geography. In addition, several states have established or are establishing curriculum frameworks that build on these national content standards and define more specifically what skills and knowledge students are expected to master.

2. Equally pertinent to this project, the Departments of Labor and Education are working with partnerships of business, labor, and other private organizations to develop "skills standards"—criteria for skills that are necessary to perform effectively and productively in particular occupational fields, such as the electronics industry or the allied health field.

Every partnership engaged in defining the skill standards for an occupational field, or "cluster," has confronted the same reality: there is no consensus on what basic skills, knowledge, and abilities constitute a foundation for more technical skills. In other words, there are no commonly accepted standards for adult literacy and basic skills and, consequently, no supplier system that can assure employers that their workers develop this foundation.

3. At the same time, there has been increasing interest at the state and national policy level in focusing adult literacy and basic skills education on "real world" outcomes—the changes that occur in adults' lives when they acquire the skills, knowledge and abilities they need to fulfill their roles and responsibilities as parents, citizens, and workers.

This emphasis on outcomes has already gained considerable support in family and workplace literacy programs, where instruction focuses explicitly on enabling adults to be more effective parents or more flexible workers. In addition, several states, some of them working within the framework of NIFL's state capacity-building initiatives, have begun to shift the focus of measurement and reporting for adult education from inputs (such as number of class hours attended) to outcomes related to broader state policy goals (such as decreased poverty, welfare dependence and unemployment; increased community involvement and citizen activism; and more children starting school ready to learn).

In proposals to improve the effectiveness of the national adult education and training system, both the Congress and the Administration have also focused on real world outcomes. Various legislative proposals introduced in the Congress to authorize adult

education and literacy services require states to—

- Establish program goals related to work, family, and community outcomes,
- Set performance standards or benchmarks for such goals, and
- Use information generated in response to these standards to monitor and improve program outcomes.

These proposals reflect the growing influence of a broader movement in both public and private sectors toward continuous improvement, where organizations and work units are held accountable for achieving desired results and given greater flexibility in how they achieve those results.

Given this background, the NIFL proposes to support activities for reform and improvement of the adult literacy system that emphasize real-world outcomes, accountability for achieving those outcomes, and continuous improvement of programs and systems.

**PURPOSE OF PROGRAM:** The purpose of this planning grant program is to launch a multi-year initiative to strengthen the capacity of adult literacy programs to achieve and measure learner outcomes. This initiative will focus on: (a) defining what adults need to know and be able to do to fulfill their roles as parents, citizens and workers; (b) investigating the most effective ways to help adults attain those skills and knowledge; and (c) developing and refining approaches to learner assessment and program evaluation that are congruent with this focus on achieving real-world outcomes.

Grantees will use these one year planning grants to launch a collaborative, grass roots process of system reform and improvement, beginning with the development of content standards for adult literacy and basic skills. Content standards will be the first major step toward improving the effectiveness of the adult literacy system in helping adults fulfill their roles as parents, citizens, and workers. The entire initiative is intended to enhance our ability as a nation to achieve Goal 6 of the National Education Goals.

Grantees will have the opportunity to—

(1) work with the Institute, the National Education Goals Panel, and each other to develop a common framework for system reform and to facilitate broad sharing of information and results.

(2) compete for funding, as available, to continue the process of system reform in the next stage of NIFL's multi-year initiative. The NIFL expects to be able to fund no more than 3 or 4 system implementation grants in year 2.

Awards for these grants will be open to Year 1 grantees and other applicants who have undertaken a comparable planning process without NIFL funding.

The NIFL believes that the development of content standards based on the three primary adult roles and the four adult learner-defined purposes for literacy will lay the foundation for a nationwide effort to assure that our adult learning system enables adults to develop the skills, knowledge, and abilities they need to fulfill their roles as parents, citizens and workers. Once we can specify what adults need to know and be able to do to fulfill their roles, we can—

(1) reshape learning activities and literacy programs to facilitate development of those skills, knowledge and abilities;

(2) assess adult progress and achievement, and

(3) evaluate the strengths and weaknesses of programs in achieving these outcomes in a process of continuous improvement.

**ELIGIBLE APPLICANTS:** Applications will be accepted from—

1. Individual public and private not-for-profit organizations and agencies that represent key literacy consumer, practitioner, provider, administrator, and funder constituencies; and

2. Consortia of such organizations and agencies operating at a state, regional (multi-state), or national level. While such consortia may include for-profit corporations and institutions, especially those that represent employers of adults, no grant will be made for a for-profit organization.

Deadline for Transmittal of Applications: August 21, 1995.

Available Funds: \$500,000.

Estimated Number of Awards: Up to 10.

Estimated Amount of Each Award: up to \$50,000.

Project Period: 12 months.

#### **DESCRIPTION OF PROGRAM:**

a. An organization or consortium of organizations receiving a planning grant under this program shall launch a comprehensive, collaborative, grassroots process for system reform and improvement, beginning with the development of content standards for adult literacy and basics skills.

b. These planning grants will be the first stage of a multi-year initiative to reform and improve practices in the adult literacy system in order to enhance national progress toward Goal 6.

c. In applying for a planning grant, an applicant's collaborative planning

process for system reform must begin with the development of content standards that—

1. Address one or more of the three critical adult roles—parent, citizen, and worker;

2. Use the four adult learner-defined purposes as a framework;

3. Focus on—

(a) either Adult Basic Education/Adult Second Education or English as a Second Language; or

(b) a particular content area, such as math.

4. draw on knowledge of and establish linkages with already existing standards or curriculum frameworks from K-12 and school-to-work, and occupational skills standards, including SCANS, Dictionary of Occupational Titles (DOT), National Council of Teachers of Mathematics (NCTM)

f. During the grant period, which will run from October 1, 1995 to September 30, 1996, grantees will engage in the following activities—

1. Participate in a two-day national meeting to be held no later than November 22, 1995 to establish a common national framework for the program.

2. Conduct and document a minimum of five, day-long focus groups and other appropriate information-gathering events that engage representatives of grantee's constituencies and other literacy stakeholders in discussing the adult role(s) to be focused on in developing content standards and how to use the four purposes as a framework for specifying—

(a) What is taught and how it is taught,

(b) How to define and measure learner progress, and

(c) How to define and evaluate program quality.

3. Establish a broad-based Working Group, including at least one representative from each focus group and representatives of other key literacy stakeholders to develop a long-range plan for system reform that builds on focus group results and includes, at a minimum, strategies for—

(a) Developing, validating, and refining content standards for meeting the four customer-defined literacy purposes in one or more of the adult roles:

(1) Parent/family;

(2) Citizen/involvement in community;

(3) Worker/workforce mobility;

(b) developing and implementing valid and reliable methods for assessing *mastery* (level of acquisition sufficient to achieve desired real-world outcomes) of the skills, knowledge and abilities

specified in the content standards.

Assessment methods must—

(1) Involve multiple measures of student performance;

(2) Provide for participation of students with diverse learning needs;

(3) Be consistent with relevant, nationally recognized professional and technical standards for such assessments; and

(4) Be capable of providing coherent information about student performance relative to the proposed content standards;

(c) Determining the most effective ways to help adults develop or acquire the critical knowledge, skills, and abilities, including—

(1) Key learning tasks;

(2) The kind of teacher/student and student/student discourse to encourage; and

(3) The kinds of tools and materials to be developed.

(d) Developing performance standards that gauge a program's effectiveness in enabling adults to accomplish the four purposes and fulfill their roles, and

(e) Defining new quality standards for programs related to the performance standards.

4. By July 15, 1996, submit the following products to NIFL:

(a) Documentation of focus group results (see item 2 above); and

(b) the long-range plan for system reform (see item 3 above).

These products will be used to support the grantee's competitive application for a multi-year implementation grant.

5. In late April 1996, participate in a three-day meeting to share progress to date with other grantees and the NIFL, and to make recommendations for funding priorities for implementation grants.

6. Maintain regular e-mail and other contact with other grantees throughout the grant period, in order to maximize sharing of information and minimize duplication of effort.

#### **Project Narrative**

The applicant's project narrative must include detailed descriptions of—

(1) the applicant organization(s) in terms of the experience and capabilities that qualify the applicant to—

(a) Lead a broad-based collaborative planning process for system reform and improvement that begins with the development of content standards;

(b) Lead a subsequent implementation process;

(c) Effect systemic change for literacy and basic skills.

(2) The constituencies and stakeholders to be involved in the project and how they will be involved;

(3) The applicant's purpose for participating in this project, including goals, objectives, and expected impact on the applicant's system.

(4) The applicant's overall project design, as outlined in the **DESCRIPTION OF PROGRAM** above.

(a) Explain how the design reflects unique features of the applicant's service delivery system(s) and

(b) Assure that all constituencies and other literacy stakeholders (including learners, other system customers, practitioners, administrators, funders, and policymakers) have opportunities to participate in a meaningful way in the process and are well-prepared to participate in the process, including having opportunities to read, discuss and reflect on the information presented in *Equipped for the Future*;

(5) The applicant's plan of operation, including:

(a) A description and timeline of activities to be conducted;

(b) A description of key personnel, qualifications, roles and affiliations;

(c) How the applicant will assure investment of all constituencies in the process and its products;

(d) How key decisions will be made throughout the course of the project to assure that the project has maximal impact on the quality of the adult literacy and basic skills system, including how constituencies and stakeholders will be involved in decision-making, and in validation of the Working Group's products;

(e) A description of how funds will be used to assure broad participation of all constituencies in development of the content standards and system improvement plan.

(6) Describe the process for documenting, monitoring and evaluating the project processes and results.

**Selection Criteria:** In evaluating applications for a grant under this competition, the Director uses the following selection criteria:

(1) **Capability and Commitment** (25 points): The Director reviews each application to determine the capability of the applicant to achieve the goals of this project, including:

(a) The applicant's ability to secure the commitment and full participation of constituencies and other literacy stakeholders in the project;

(b) The extent to which the applicant demonstrates knowledge of and linkages to previous and current national, regional, or state efforts to—

(i) Develop content standards in areas related to adult literacy and basic skills and

(ii) Improve the ability of adult literacy programs to meet the needs of adult learners.

(c) The extent to which the applicant demonstrates knowledge of and experience in successfully managing grassroots consensus building processes;

(d) The explicit and documented commitment of constituencies and other stakeholder organizations to participate in information-gathering events and the Working Group;

(e) The applicant's explicit and documented commitment to participate in two national meetings referenced above and any other national activities relating to the conduct of the grant.

(2) **Plan of Operation** (45 points): Quality of the plan for creating multi-year system improvement plan including:

(a) The extent to which the applicant states clear goals and objectives for the project in terms of impacts on the quality of the delivery system;

(b) The quality of the plan for assuring meaningful participation of key constituencies, including:

(i) Adult learners;

(ii) Full and part-time teachers and tutors, including volunteers;

(iii) Program administrators;

(iv) Representatives of public and private agencies that fund adult literacy;

(v) Members of organizations and institutions, including schools and employers, with a stake in the performance of adults as parents, citizens and workers;

(vi) Public officials;

(vii) Members of organizations involved in provision of staff development and technical assistance;

(c) Quality of the process for developing a system-improvement plan, including the extent to which plan provides for broad participation in standards development.

(3) **Project Management Plan, Including Qualifications of Key Personnel** (25 points): The Director reviews each application to determine the quality of the management plan, including:

(a) The soundness of the plan for forming and operating a Working Group to carry out the project, including provisions for membership; duties; responsibilities, term of service.

(b) The soundness of the timeline for undertaking key project tasks and accomplishing them by set dates;

(c) The quality of the qualifications and job description developed for the project director, including—

(i) The soundness of provisions for how the project director will relate to the Working Group;

(ii) If a candidate for project director has been selected, the quality of the candidate's resume,

(iii) If a candidate for project director has not been selected, the applicant's provisions for selecting and hiring a candidate within a month of receiving the grant award.

(d) The quality of provisions for documenting the systems improvement plan development process; and

(e) The soundness of provisions for monitoring the systems improvement plan development process in terms of—

(i) The inclusiveness of the process, and

(ii) The quality of the results;

(4) **Budget and Cost effectiveness** (5 points): The Director reviews each application to determine the extent to which:

(a) The budget is adequate to support grant activities;

(b) Costs are reasonable in relation to the objectives of the project;

(c) The budgets for any subcontracts are detailed and appropriate; and

(d) The budget details any resources, cash or in-kind, that the applicant or others will provide to the project in addition to grant funds.

**Other Applications Requirements:**

The application shall include the following:

**Project Summary:** The proposal must contain a brief summary of the proposed project suitable for publication. It should not be an abstract of the application, but rather a self-contained description of the activities that would explain the proposal. The summary must include the following information:

a. Name of applicant organization  
b. Description of literacy constituency represented by the applicant:

1. State;  
2. Region;  
3. Type of program;  
c. Adult role(s) to be addressed in plan:

1. Parent/family.  
2. Citizen.  
3. Worker.  
d. Type of instruction to be addressed in plan:

1. ABE.  
2. ESL.  
3. Other.

**Project Description:** This description should not exceed twenty (20) single-spaced pages, or forty (40) double-spaced pages. The description may be amplified by material in attachments and appendices, but the body should stand alone to give a complete picture of the project. Applications which exceed 20 single-spaced pages or 40 double-spaced pages will not be reviewed.

**Summary Proposal Budget:** The proposal must contain a budget for support requested. The budget format may be reproduced as needed. Facsimiles may be used, but do not make substitutions in prescribed budget categories. Additional pages for budget explanation and amplification should be attached and must be consistent with the data and categories on the form. All budget requests must be documented and justified.

**Budget Proposal:** The budget proposal should be BOUND IN A SEPARATE DOCUMENT. Personnel items should include the names (or position titles) of key staff, number of hours, and applicable hourly rates. Discussion of equipment, supplies, and travel should include both the cost and the purpose and justification. Budgets should include all applicant's costs and should identify contributed costs, and support from other sources, if any. Sources of support should be clearly identified in all instances. The financial aspects of any cost sharing and joint or cooperative funding by members of a consortium formed for purposes of the application should be shown in a detailed budget for each party. These budgets should reflect the arrangements among the parties, and should show exactly what cost-sharing is proposed for each budget item.

**Disclosure of Prior Institute Support:** If any subcontractor, partner, consortium member, or organization has received Institute funding in the past 2 years, the following information on the prior awards is required:

- Institute award number, amount and period of support;
- A summary of the results of the completed work; and
- A brief description of available materials and other related research products not described elsewhere.

If the applicant has received a prior award, the reviewers will be asked to comment on the quality of the prior work described in this section of the application.

**Current and Pending Support:** All current project support from whatever source (such as Federal, State, or local government agencies, private foundations, commercial organizations) must be listed. The list must include the proposed project and all other projects requiring a portion of time of the Project Director and other project personnel, even if they receive no salary support from the project(s). The number of person-months or percentage of effort to be devoted to the projects must be stated, regardless of source of support. Similar information must be provided for all proposals that are being

considered by or will be submitted soon to other sponsors.

If the project now being submitted has been funded previously by another source, the information requested in the paragraph above should be furnished for the immediately preceding funding period. If the proposal is being submitted to other possible sponsors, all of them must be listed. Concurrent submission of a proposal to other organizations will not prejudice its review by the Institute.

Any fee proposed to be paid to a collaborating or "partner" for-profit entity should be indicated. (Fees will be negotiated by the Grants Officer.) Any copyright, patent or royalty agreements (proposed or in effect) must be described in detail, so that the rights and responsibilities of each party are made clear. If any part of the project is to be subcontracted, a budget and work plan prepared and duly signed by the subcontractor must be submitted as part of the overall application and addressed in the narrative.

#### **Instructions for Transmittal of Applications:**

(1) To apply for a standards planning grand—

(a) Mail the original and ten (10) copies of the application on or before deadline date of August 21, 1995, to: National Institute for Literacy, 800 Connecticut Avenue, NW, Suite 200, Washington, DC 20006, Attention: (CFDA #84.257H).

(b) Hand deliver the application by 4:30 p.m. (Washington, DC time) on the deadline date to the address above.

(2) An applicant must show one of the following as proof of mailing:

(a) A legibly dated U.S. Postal Service postmark.

(b) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(c) A dated shipping label, invoice, or receipt from a commercial carrier.

(3) If an application is mailed through the U.S. Postal Service, the Director does not accept either of the following as proof of mailing:

(a) A private metered postmark.

(b) A mail receipt that is not dated by the U.S. Postal Service.

Notes: (1) the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

(2) The National Institute for Literacy will mail a Grant Applicant Receipt Acknowledgment to each applicant. If an applicant fails to receive the notification of application receipt within 15 days from the date of mailing

the application, the applicant should call the National Institute for Literacy at (202) 632-1500.

(3) The applicant must indicate on the envelope and in Item 10 of the application for Federal Assistance (Standard Form 424) the CFDA number of the competition under which the application is being submitted.

**Application Forms:** The appendix to this announcement is divided into three parts plus a statement regarding estimated public reporting burden and various assurances and certifications. These parts and additional materials are organized in the same manner that the submitted application should be organized. The parts and additional materials are as follows:

Part I: Application for Federal Assistance (Standard Form 424 (Rev. 4-88)) and instructions.

Part II: Budget Information—Non-Construction Programs (Standard Form 424A) and instructions.

Part III: Application Narrative. Additional Materials: Estimated Public Reporting Burden. Assurances—Non-Construction

Programs (Standard Form 424B). Certification Regarding Lobbying; Debasement, Suspension, and other Responsibility Matters; and Drug-Free Workplace Requirements (ED 90-0013).

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion: Lower Tier Covered Transactions (ED 80-0014, 9/90) and instructions.

*Note:* ED 80-0014 is intended for the use of recipients and should not be transmitted to the National Institute for Literacy.

Disclosure of Lobbying Activities (Standard Form LLL) (if applicable) and instructions; and Disclosure of Lobbying Activities Continuation Sheet (Standard Form LLL-A).

An applicant may submit information on a Photostat copy of the application and budget forms, the assurances and the certifications. However, the application form, the assurances, and certifications must each have an original signature. No award can be made unless a completed application has been received.

**Grant Administration:** The administration of the grant is governed by the conditions of the award letter. The Education Department General Administrative Regulations, (EDGAR) 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85 and 86 (July 1, 1993), set forth administrative and other requirements. This document is available through your public library and the National Institute for Literacy. It is recommended that appropriate administrative officials

become familiar with the policies and procedures in the EDGAR which are applicable to this award. If a proposal is recommended for an award, the Grants Officer will request certain organizational, management, and financial information.

The following information on grant administration dealing with questions such as General Requirements, Prior Approval Requirements, Transfer of Project Director, and Suspension or termination of Award, should be referred to the Grants Officer.

*Reporting:* In addition to working closely with the Institute, the applicant will be required to submit a quarterly report of activities, a documentation report and a system(s) reform or improvement plan as described in the DESCRIPTION OF PROGRAMS above. Both the documentation report and the improvement plan are due at the Institute on July 15, 1996.

*Acknowledgment of Support and Disclaimer:* An acknowledgment of

Institute support and a disclaimer must appear in publications of any material, whether copyrighted or not, based on or developed under NIFL-supported projects:

“This material is based upon work supported by the National Institute for Literacy under Grant No. (Grantee should enter NIFL grant number).”

Except for articles of papers published in professional journals, the following disclaimer should be included:

“Any opinion, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Institute for Literacy.”

*Instructions for Estimated Public Reporting Burden:* Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing the Act, the National Institute for Literacy invites comment on the public reporting burden in this collection of information. Public reporting burden for this collection of

information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and disseminating the data needed, and completing and reviewing the collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the National Institute for Literacy, and the Office of Management and Budget, Paperwork Reduction Project, Washington, DC 20503.

(Information collection approved under OMB control number 3200-0031, Expiration date: July 1998).

**Program Authority:** 20 U.S.C. 1213c  
Dated: July 7, 1996.

**Andrew J. Hartman,**  
*Director, National Institute for Literacy.*

**Program Timetable**

The NIFL has developed the following timetable for the project:

August 21, 1995 .....	Applications submitted.
September 30, 1995 .....	NIFL awards 10 grants to state, regional or national organizations or consortia to participate in the standards project.
November 1995 .....	Grantees meet in Washington to establish a common framework for the project.
Oct. 1995-Sept. 30, 1996 ..	Grant recipients carry out grant activities.
April 1996 .....	Grant recipients meet with National Policy Board to share progress to date and to set priorities for next steps.
July 15, 1996 .....	Grant recipients submit documentation reports and long term improvement plan for competitive funding.
Aug.-Sept. 1996 .....	Interested representatives of planning grant projects meet to shape national framework based on year 1 results.
September 15, 1996 .....	Implementation grants awarded.
November 1996 .....	NIFL publishes results of year one projects for broad comment and review.

OMB Approval No. 0348-0043

APPLICATION FOR  
FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Preapplication <input type="checkbox"/> Non-Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
<b>3. DATE RECEIVED BY STATE</b>		State Application Identifier	
<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>		Federal Identifier	

  

<b>5. APPLICANT INFORMATION</b> Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)	

  

<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>	<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> A. State                      H. Independent School Dist. B. County                    I. State Controlled Institution of Higher Learning C. Municipal                J. Private University D. Township                K. Indian Tribe E. Interstate                L. Individual F. Intermunicipal           M. Profit Organization G. Special District        N. Other (Specify): _____
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<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____	<b>9. NAME OF FEDERAL AGENCY:</b>
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<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> TITLE:	<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> <div style="border: 1px solid black; width: 100%; height: 100px;"></div>
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<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> <div style="border: 1px solid black; width: 100%; height: 50px;"></div>	<b>13. PROPOSED PROJECT:</b> Start Date      Ending Date
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<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant b. Project	<b>15. ESTIMATED FUNDING:</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">a. Federal</td> <td style="width: 10%;">\$</td> <td style="width: 10%;"></td> <td style="width: 10%;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td></td> <td>.00</td> </tr> </table>	a. Federal	\$		.00	b. Applicant	\$		.00	c. State	\$		.00	d. Local	\$		.00	e. Other	\$		.00	f. Program Income	\$		.00	g. TOTAL	\$		.00
a. Federal	\$		.00																										
b. Applicant	\$		.00																										
c. State	\$		.00																										
d. Local	\$		.00																										
e. Other	\$		.00																										
f. Program Income	\$		.00																										
g. TOTAL	\$		.00																										

  

<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No
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18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED		
a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	

Previous Editions Not Usable

Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

**Instructions for the SF 424**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

**Item and Entry**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).  
If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- “New” means a new assistance award.
- “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
- “Revision” means any change in the Federal Government's financial obligation or contingent liability for an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities).

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by

each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**BILLING CODE 6055-01-M**

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

SECTION A — BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

  

SECTION B — BUDGET CATEGORIES						
Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1)	(2)	(3)	(4)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$

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Standard Form 424A (4-88)  
Prescribed by GSA FPMR, 101-11.6

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
3.	\$	\$	\$	\$	\$
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	\$

  

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	13. Federal	\$	\$	\$	\$
14. Nonfederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

  

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16-19)	\$	\$	\$	\$

  

SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)	
21. Direct Charges:	22. Indirect Charges:
23. Remarks	

**Instructions for the SF-424A***General Instructions*

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

*Section A. Budget Summary*

Lines 1-4, Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number of each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g)  
(continued)

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this.

Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

*Section B Budget Categories*

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Line 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

*Section C. Non-Federal-Resources*

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

*Section D. Forecasted Cash Needs*

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

*Section E. Budget Estimates of Federal Funds Needed for Balance of the Project*

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

*Section F. Other Budget Information*

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

**Assurances—Non-Construction Programs**

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers,

or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88–352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd–3 and 290 ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91–646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a–7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93–234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91–190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93–523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93–205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a–1 et seq.).

14. Will comply with P.L. 93–348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89–544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction of rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

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Signature of authorized certifying official

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Title

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Applicant organization

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Date submitted

**Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR part 82, "New Restrictions on Lobbying," and 34 CFR part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

**1. Lobbying**

As required by section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR part 82, sections 82.105 and 82.110, the application certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form—LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subwards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

## 2. Debarment, Suspension, and Other Responsibility Matters

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR part 85, for prospective participants in primary covered transactions, as defined at 34 CFR part 85, sections 85.105 and 85.110—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

## 3. Drug-Free Workplace (Grantees Other Than Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR part 85, subpart F, for grantees, as defined at 34 CFR part 85, sections 85.605 and 85.610—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, SW, (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

## Drug-Free Workplace (Grantees Who Are Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR part 85, subpart F, for grantees, as defined at 34 CFR part 85, sections 85.605 and 85.610—

A. As condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, to: Director, Grants and Contract Services, U.S. Department of Education, 400 Maryland Avenue, SW, (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of applicant

PR/Award number and/or project name

Printed name and title of authorized representative

Signature

Date

## Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing, Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 95.110.

### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a

system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

*Certification*

(1) The proposective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently

debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name of applicant

PR/Award number and/or project name

Printed name and title of authorized representative

Signature

Date

BILLING CODE 6055-01M

**DISCLOSURE OF LOBBYING ACTIVITIES**Approved by OMB  
0348-0046Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____		<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</b>		<b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b>
<i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i>		
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b>  <div style="height: 100px;"></div>		
<i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i>		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form - LLL